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PATENT #4/IDS  
0505-8001  
L. Lewis  
9-19-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John NAFEH et al. Art Unit:  
Filed: August 6, 2001 Examiner:  
Serial No.: 09/923,035  
Publication No.: US 2002/0069155 Publication Date: June 6, 2002

Title: METHODS AND APPARATUS FOR FORMULATION, INITIAL PUBLIC OR  
PRIVATE OFFERING, AND SECONDARY MARKET TRADING OF RISK  
MANAGEMENT CONTRACTS

CERTIFICATE OF MAILING

I hereby certify that the following attached paper(s) and/or fee

1. Third Party Submission under 37 CFR 1.99
2. Form PTO 1449
3. Copies of three (3) references
4. Check for \$180.00
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Date: July 31, 2002

Brenda Pomerance  
Brenda Pomerance

CORRESPONDENCE ADDRESS:

Brenda Pomerance  
Law Office of Brenda Pomerance  
260 West 52 St. Ste. 27B  
New York, NY 10019  
212 245-3940



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PATENT  
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Art Unit:

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MANAGEMENT CONTRACTS

THIRD PARTY SUBMISSION UNDER 37 C.F.R. 1.99

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

This Third Party Submission is filed in accordance with 37 C.F.R. § 1.99, by a member of the public, Exchange Lab, Inc., represented by the undersigned attorney.

The items listed on Form PTO 1449, copies of which are enclosed, are submitted to assist the Patent Office in its examination of this application. All items are in the English language.

I certify that a copy of this Submission and references has been served upon the applicant, via its attorney, Sidley Austin Brown & Wood, in compliance with 37 C.F.R. 1.248(b).

A check for the fee set forth in 37 C.F.R. § 1.17(p) is enclosed.

Respectfully submitted,

Date: July 31, 2002

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Substitute Form PTO 1449

<b>INFORMATION DISCLOSURE STATEMENT</b>	Application No.	09/923,035
	Filing Date	August 6, 2001
	Inventor	Nafeh et al.
	Group Art Unit	
	Examiner	
Sheet 1 of 1	Atty. Docket No.	0505-8001

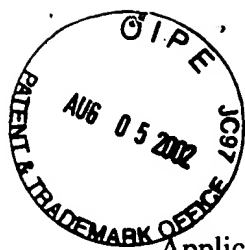
U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
	AA					
	AB					

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (✓)
		Office	Number	Kind Code				
	BA							
	BB							

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (✓)
	CA	Presentation: OPEX -- the open exchange, Business Case and Proposal, January 4, 1999	
	CB	Executive Brief, XnO Software, May 1999	
	CC	Business Plan, Open Exchange, Inc., September 2000	

Examiner Signature		Date Considered	
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3628  
PATENT  
1600-8001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John NAFEH et al.

Art Unit:

Filed: August 6, 2001

Examiner:

Serial No.: 09/923,035

Publication No.: US 2002/0069155

Publication Date: June 6, 2002

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THIRD PARTY SUBMISSION UNDER 37 C.F.R. 1.99

Assistant Commissioner for Patents  
Washington, DC 20231

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Sir:

This Third Party Submission is filed in accordance with 37 C.F.R. § 1.99, by a member of the public, Sean McNamara, represented by the undersigned attorney.

The items listed on Form PTO 1449, copies of which are enclosed, are submitted to assist the Patent Office in its examination of this application. All items are in the English language.

I certify that a copy of this Submission and references has been served upon the applicant, via its attorney, Sidley Austin Brown & Wood, in compliance with 37 C.F.R. 1.248(b).

A check for the fee set forth in 37 C.F.R. § 1.17(p) is enclosed.

Respectfully submitted,

Date: August 1, 2002

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	Inventor	Nafeh et al.
	Group Art Unit	
	Examiner	
Sheet 1 of 1	Atty. Docket No.	1600-8001

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	BA							
	BB							

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (√)
	CA	Global Sports Exchange Functional Specification, April 30, 1999	
	CB	email to Sean McNamara, "Terms Sheet for Pareto Partners", and Biographies, May 13, 1999	
	CC	www.intrade.com, 3 pages, July 30, 2002	

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